

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)  
Total Number of Pages in This Submission

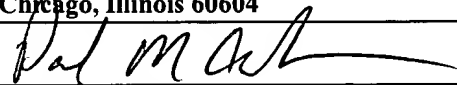
Application Number 09/352,562  
Filing Date 7/13/99  
First Named Inventor Watt, et al  
Group Art Unit 2734  
Examiner Name  
Attorney Docket Number 1400.4100221



- ENCLOSURES (check all that apply)**
- |                                                                                       |                                                                                          |                                                                                                  |
|---------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> Fee Transmittal Form                              | <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53             | <input type="checkbox"/> Small Entity Statement                                                  |
| <input checked="" type="checkbox"/> Fee Attached                                      | <input checked="" type="checkbox"/> Assignment Papers (for an Application)               | <input type="checkbox"/> Request for Refund                                                      |
| <input type="checkbox"/> Amendment / Response                                         | <input type="checkbox"/> Drawing(s)                                                      | <input type="checkbox"/> After Allowance Communication to Group                                  |
| <input type="checkbox"/> After Final                                                  | <input type="checkbox"/> Licensing-related Papers                                        | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences              |
| <input type="checkbox"/> Affidavits/declaration(s)                                    | <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition     | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)       |
| <input type="checkbox"/> Extension of Time Request                                    | <input type="checkbox"/> To Convert a Provisional Application                            | <input type="checkbox"/> Proprietary Information                                                 |
| <input type="checkbox"/> Express Abandonment Request                                  | <input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address | <input type="checkbox"/> Status Letter                                                           |
| <input type="checkbox"/> Information Disclosure Statement                             | <input type="checkbox"/> Terminal Disclaimer                                             | <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): Declaration |
| <input type="checkbox"/> Certified Copy of Priority Document(s)                       |                                                                                          |                                                                                                  |
| <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application |                                                                                          |                                                                                                  |

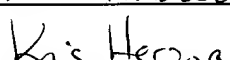
Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm name	Markison & Reckamp, P.C. 175 W. Jackson Blvd. - Suite 1015 Chicago, Illinois 60604			
Signature	 10/6/99			
Individual Name	Paul M. Anderson	Reg. No.	39,896	Date

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

Typed or printed name	KRIS HERZOG		
Signature		Date	10.6.99

SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

# FEE TRANSMITTAL

Note: Effective October 1, 1997.  
Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT (\$) 1020.00**



Complete if Known

Application Number	09/352,562
Filing Date	7/13/99
First Named Inventor	Watt
Group Art Unit	2734
Examiner Name	
Attorney Docket Number	1400.4100221

## METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number	
Deposit Account Name	

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Charge the Issue Fee Set in 37 CFR 1.18 at the mailing of the Notice of Allowance

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
101	760	Utility filing fee	760.00
106	310	Design filing fee	
107	480	Plant filing fee	
108	760	Reissue filing fee	
114	150	Provisional filing fee	

**SUBTOTAL (1) (\$) 760.00**

### 2. CLAIMS

Claims	Extra	Fee from below	Fee Paid
Total 25	(-20 =) 5	18	90.00
Indep. 3	(-3 =) 0	78	0.00
Multiple Dep.			

Large Entity Fee Code	Small Entity Fee Code	Fee Description
103	18	Claims in excess of 20
102	78	Independent claims in excess of 3
104	260	Multiple dependent claim
109	78	Reissue independent claims over original patent
110	18	Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$) 90.00**

## FEE CALCULATION (continued)

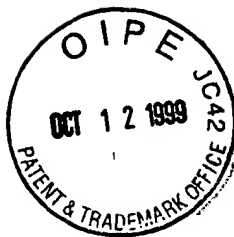
### 3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105	130	Surcharge - late filing fee or oath	130.00
127	50	Surcharge - late provisional filing fee or cover sheet	
139	130	Non-English specification	
147	2,520	For filing a request for reexamination	
112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	Requesting publication of SIR after Examiner action	
115	110	Extension for reply within first month	
116	380	Extension for reply within second month	
117	870	Extension for reply within third month	
118	1,360	Extension for reply within fourth month	
128	1,850	Extension for reply within fifth month	
119	300	Notice of Appeal	
120	300	Filing a brief in support of an appeal	
121	260	Request for oral hearing	
138	1,510	Petition to institute a public use proceeding	
140	110	Petition to revive - unavoidable	
141	1,210	Petition to revive - unintentional	
142	1,210	Utility issue fee (or reissue)	
143	430	Design issue fee	
144	580	Plant issue fee	
122	130	Petitions to the Commissioner	
123	50	Petitions related to provisional applications	
126	240	Submission of Information Disclosure Stmt	
581	40	Recording each patent assignment per property (times number of properties)	40.00
146	760	Filing a submission after final rejection (37 CFR 1.129(a))	
149	760	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify)			
Other fee (specify)			

Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$) 170.00**

<b>SUBMITTED BY</b>		Complete (if applicable)	
Typed or Printed Name	Paul M. Anderson	Reg. Number	39,896
Signature		Deposit Account User ID	
Date	10/6/99		



Section #

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Watt, et al  
SERIAL NUMBER: 09/352,562  
FILING DATE: 7/13/99  
TITLE: METHOD AND SYSTEM FOR PROVIDING CONTROL INFORMATION IN A SYSTEM USING DISTRIBUTED COMMUNICATION ROUTING

EXAMINER:  
ART GROUP: 2734  
DOCKET NO.: 1400.4100221

Date: 9/30/99

Attention: Box Missing Parts  
Honorable Commissioner of  
Patents & Trademarks  
Washington, DC 20231

*I hereby certify that this paper is being deposited with the United States Postal Service as first-class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on this date.*

10.6.99  
Date

Kristen G. Herzog  
Kristen G. Herzog

RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF APPLICATION

Dear Sir:

In response to the Notice to File Missing Parts of Application mailed 8/10/99, enclosed herewith please find:

- (a) Declaration executed by the inventors;
- (b) Assignment to Newbridge Networks Corporation;
- (c) Assignment cover sheet;
- (d) Transmittal Form;
- (e) Fee Transmittal Form;
- (f) Copy of the Notice to File Missing Parts of Application;
- (g) Check in the amount of \$1020.00; and
- (h) Return postcard

Please note that the name of the first named inventor has changed.

Respectfully submitted,

By:

Paul M. Anderson

Paul M. Anderson  
Registration No.: 39,896  
Attorney for Applicant(s)

Markison & Reckamp, P.C.  
175 West Jackson Boulevard – Suite 1015  
Chicago, Illinois 60604  
Tel: (312) 939-9800  
Fax: (312) 939-9828



FILE COPY

October 6, 1999

Application Processing Division  
Customer Correction Branch  
Assistant Secretary in Connection with  
Patents and Trademarks  
U.S. Patent & Trademark Office  
Washington, D.C. 20231

*I hereby certify that this paper is being deposited with the United States Postal Service as first-class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on this date.*

10.7.99  
Date

*Kristen G. Herzog*  
Kristen G. Herzog

Re: Applicant: Watt, et al  
Serial No: 09/352,562  
Filing Date: July 13, 1999  
Our File No.: 1400.4100221  
Title:

**METHOD AND APPARATUS FOR PROVIDING  
CONTROL INFORMATION IN A SYSTEM  
USING DISTRIBUTED COMMUNICATION  
ROUTING**

RECEIVED  
DEC 1 1999  
TECH CENTER 2000

Dear Sirs:

Please make the indicated corrections as shown on the enclosed Filing Receipt. The inventor names and addresses, as shown on the Filing Receipt, are incorrect. As per the Declaration filed in Response to Notice of Missing Parts, the inventors have changed. Please change the filing receipt to reflect the correct names and address (**James Watt, Ontario, Canada; Scott Brim, Ithaca, NY; Ravi Gorur, Centreville, VA; Ramana V. Gollamudi, Reston, VA; Joel M. Halpern, Leesburg, VA.**). Please contact me at the below-listed telephone number if you have any questions or need additional information.

Respectfully submitted,

MARKISON & RECKAMP, P.C.

By:

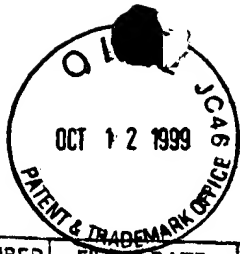
*Paul M. Anderson*

Paul M. Anderson

Reg. No. 39,896

Markison & Reckamp, P.C.  
175 West Jackson Boulevard  
Suite 1015  
Chicago, IL 60604  
(512) 894-3496

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/352,562	07/13/99	2734	\$0.00	1400.4100221	6	25	3

MARKISON & RECKAMP P C  
175 WEST JACKSON BOULEVARD  
SUITE 1015  
CHICAGO IL 60604

RECEIVED  
DEC 16 1999  
TECH CENTER 2734

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

~~RICHARD CHAN, RESIDENCE NOT PROVIDED; PHILIP MATTHEWS, RESIDENCE NOT PROVIDED; JIM LOGAN, RESIDENCE NOT PROVIDED; SCOTT BRIM, RESIDENCE NOT PROVIDED; JAMES WATT, RESIDENCE NOT PROVIDED; RAVI GORUR, RESIDENCE NOT PROVIDED; RAMANA V. GOLLAMUDI, RESIDENCE NOT PROVIDED.~~

Doc 8/17/99

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 08/05/99

TITLE

METHOD AND APPARATUS FOR PROVIDING CONTROL INFORMATION IN A SYSTEM USING DISTRIBUTED COMMUNICATION ROUTING

PRELIMINARY CLASS: 375

JAMES WATT, ONTARIO, CANADA; SCOTT BRIM, ITHACA, NY; RAVI GORUR, CENTREVILLE, VA; RAMANA V. GOLLAMUDI, RESTON, VA; JOEL M. HALPERN, LEESBURG, VA.

DATA ENTRY BY: HOPKINS, DENISE

TEAM: 04 DATE: 08/05/99

\*\*\*\*\*

(See reverse for new important information)

SERIAL NUMBER 09/352,362	FILING DATE 07/13/99	CLASS 375	GROUP ART UNIT 2734	ATTORNEY DOCKET NO. 1400.4100221
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APPLICANT

JAMES WATT, ONTARIO, CANADA; SCOTT BRIM, ITHACA, NY; RAVI GORUR,  
CENTREVILLE, VA; RAMANA V. GOLLAMUDI, RESTON, VA; JOEL M. HALPERN,  
LEESBURG, VA.

## \*\*CONTINUING DOMESTIC DATA\*\*\*\*\*

VERIFIED

KE NO

## \*\*371 (NAT'L STAGE) DATA\*\*\*\*\*

VERIFIED

KE NO

## \*\*FOREIGN APPLICATIONS\*\*\*\*\*

VERIFIED

KE NO

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 08/05/99

Foreign Priority claimed 35 USC 119 (a-d) conditions met	<input type="checkbox"/> yes <input checked="" type="checkbox"/> no <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance	STATE OR COUNTRY CAX	SHEETS DRAWING 6	TOTAL CLAIMS 25	INDEPENDENT CLAIMS 3
Verified and Acknowledged <u>KE</u> Examiner's Initials _____ Initials _____					

ADDRESS

MARKISON & RECKAMP P C  
175 WEST JACKSON BOULEVARD  
SUITE 1015  
CHICAGO IL 60604

TITLE

METHOD AND APPARATUS FOR PROVIDING CONTROL INFORMATION IN A SYSTEM  
USING DISTRIBUTED COMMUNICATION ROUTING

FILING FEE RECEIVED  \$980	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT NO. _____ for the following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit
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UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

#3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/352,562 07/13/99 CHAN

R 1400.4100221

MARKISON & RECKAMP P C  
175 WEST JACKSON BOULEVARD  
SUITE 1015  
CHICAGO IL 60604



NOT ASSIGNED

2734

DATE MAILED:

08/10/99

### NOTICE TO FILE MISSING PARTS OF APPLICATION Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of \$65.00 for a small entity in compliance with 37 CFR 1.27, or \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a  
☐ small entity (statement filed) ☒ non-small entity is \$ 980.00

- ☒ 1. The statutory basic filing fee is:  
☒ missing.  
☐ insufficient.

Applicant must submit \$ 980.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☒ 2. The following additional claims fees are due:

\$ 90.00 for 5 total claims over 20.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

☒ is missing or unsigned.

☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(d), previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Hopkins, D R  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

00000046 09352562  
10/14/1999 08:45:16  
01 CC:101  
02 CC:103  
03 CC:105  
1998-446-624